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ABSTRACT

The need for a reconsideration of policy in the Utah library community is driven by three factors: (1) the success of the Upgrade Process and state development grants in developing local library service; (2) the rapid expansion of revolutionary network technology; and (3) changing patterns of federal funding. This paper focuses on specific programming and funding proposals for the following: library services for the blind and physically handicapped, county bookmobiles, development services, network services, and resource sharing and interlibrary loan. For each of these services, the policy context and rationale is described, program and policy proposals are identified, and funding requests for various fiscal years are outlined. The Utah State Library Division mission and role statement and guiding principles and assumptions are noted. A legislative funding request summary is also provided. (AEF)

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RE-ENGINEERING STATEWIDE LIBRARY SERVICES IN UTAH:

Continuity and Change for the Coming Decade

Utah State Library Division

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Utah State Library Division

RE-ENGINEERING STATEWIDE LIBRARY SERVICES IN UTAH: Continuity and Change for the Coming Decade

Draft policy proposals to be submitted to
the Utah State Library Board on 15 August 1995

A PREFACE TO POLICY

The Utah State Library Division is nearing the completion of its fourth decade. Over the course of nearly forty years it has evolved dramatically. Initially, its mission was defined simply as providing basic bookmobile service throughout the state. As the Division enters its fifth decade it has become a compact, highly complex organization. It works cooperatively with, and provides services to, numerous diverse clientele groups including libraries of all types that are at all stages of service development, state agencies, and special library service populations. Most recently, the Division has positioned itself at the forefront of Utah's--and the nation's--public organizations in developing, extending, and using the new information technologies surrounding the exploding world of the Internet.

There are many stakeholders who have a legitimate claim to help define the future of the Division and the development of its policies. Each is important. By force of circumstance, each is most concerned with and values most highly only a part of the agency's full role. Inevitably, there are conflicting interests among the Division's clientele. The challenge for the State Library Board and the Division staff is to focus roles and set priorities, recognizing the agency cannot do everything. It must do the most important things, those tasks that it is best equipped and organizationally positioned to do. In defining policy directions for the next decade, the Division must strike a balance between <u>continuity</u> with productive policy commitments of the past, and the pressing <u>change</u> required of the future. As a library service community we must keep ourselves relevant within a rapidly evolving environment.

The issues and challenges now facing the Utah library community, and the State Library Division in particular, have been presented to the state in two companion discussion papers: <u>Continuity and Change</u>, and <u>Utah's Bookmobile Counties in the Year 2000</u>. Meetings to discuss the issues have been held with librarians, board members, and elected officials. Librarians, board members, elected officials, and private citizens from across the state have given thoughtful consideration to the issues and communicated their responses to the Division. The proposals made below are given on the basis of this dialogue. They provide a foundation upon which a productive and reasonable policy can evolve in the months and years ahead. The need for a reconsideration of policy is driven by three factors: the success of the Upgrade Process and state development grants in developing local library service, the rapid expansion of revolutionary network technology, and changing patterns of federal funding. The re-engineering of statewide library services will require an extended multi-type library planning process. Specific planning proposals are presented below.

The policy directions that are to guide the future actions of the Division should be based on a statement of the mission and role of the agency, and of the fundamental assumptions made by those responsible for policy. Accordingly, these are given below. Thereafter, specific programming and funding proposals are made under five function headings that cover the full range of the agency's operations.

STATEMENT OF MISSION AND ROLE

The Utah State Library Division is both an agency of state government and a library charged under Utah law to strengthen and improve library service to the residents of Utah. It accomplishes these purposes by administering state and federal programs in support of library service, by developing library service capacity in state and local governments, by training individuals in progressive library practice and in the use of new information technologies, by fostering cooperative approaches to library service within Utah, and by being a library and information service provider within the state's multi-type library community.

GUIDING PRINCIPLES AND ASSUMPTIONS

1. The State of Utah has a direct interest in seeing that all citizens of the state have access to basic library and information services regardless of their place of residence. This State interest is given organizational force and direction through the Utah State Library Division and its policy body, the Utah State Library Board.

2. Division policies should emphasize the themes of flexibility, responsiveness, and local empowerment.

3. Division programs, services, and organizational structure must be dynamic to respond to the continuously evolving needs of its various clientele groups.

4. The funding environment for library service in the future will be volatile. This will require continuous planning, the defining of contingencies, and incremental decision-making.

5. The future belongs to library service organizations that can maintain cooperative, mutually beneficial relationships with many diverse partners. Division policies and programs should support the progressive evolution of library service organizations that can act for themselves and contribute within an interdependent community of multi-type library and information service providers.

6. Responsibility for public library service in the state's cities and counties rests with local library service boards of trustees and local elected officials. Division policies acknowledge the responsibility of local boards, elected officials, and private citizens to establish local library service needs and priorities, to provide the bulk of the resources needed to meet these needs, and to establish policies to govern local public library service.

7. Responsibility for library services supporting the educational programs of the public schools and the state's colleges and universities rests with their respective administrative and governance structures. These include the Utah State Office of Education and local school districts and their governing boards, and the Utah System of Higher Education with its constituent institutions and their governing boards.

BLIND AND PHYSICALLY HANDICAPPED LIBRARY SERVICES

Policy Context and Rationale

The state of Utah has a growing population of persons who need and qualify for the specialized library and information services provided by the Division. These persons are scattered across the state in both urban and rural communities, and include the young as well as the elderly. Local librarians may not even be fully aware of the number of persons in their communities who need and currently receive these services, simply because the services are provided directly to the individual. Such persons need not burden local libraries with service requirements that few, if any, public, academic, or school libraries can hope to meet. The specialized library services and information resources required by the blind and physically handicapped are most efficiently and effectively provided through centralized direct service to individuals. We need continued broad awareness of the service so that local librarians and State Library Division staff can collaborate in effectively addressing the needs of the blind and physically handicapped. The challenge for the future is how to provide the core services that are required by this special service population in the most efficient, cost-effective way.

Program and Policy Proposals

* That administrative action be taken to reduce and control operating costs, and to increase the productivity of existing staff members by

- studying, developing, and implementing more effective staff utilization patterns
- moving the automated system from the State's mainframe computer to the Division's LAN
- studying the further move of audio-tape duplication service to the Utah State Prison
- exploring the use of bar-code technology to expedite materials circulation
- reviewing all service contracts to assure full cost recovery

Funding Status and Requests

FY 1996-97 No request; assumes the continuation of federal dollars sufficient to maintain operations

FY 1997-98 If no federal dollars are available, request an increase to the base of up to $50,000 (50 percent of the federal dollars currently supporting the service)

COUNTY BOOKMOBILE LIBRARY SERVICE

Policy Context and Rationale

One-fourth of the state's population resides in rural Utah outside the metropolitan Wasatch Front. Substantial increases in the state's population over the last two decades have maintained this proportion. The state's rural population will continue to grow in absolute terms. This fact, coupled with Governor Leavitt's proposal for the "economic resettlement of rural Utah," places a priority on preserving and further developing existing library service in the bookmobile counties. It implies as well the cooperative commitment of both state and local government to extend new and essential information technology to rural Utah.

County bookmobile service has been productive and highly valued by those who have relied upon it. In four counties it is the only public library service available to residents. Several smaller counties share a regional headquarters. In most of these cases continued state involvement will be required to coordinate among county governments. Assuming the development of cooperative working relationships among rural city and county governments, the bookmobile library resources now residing in the counties will be important components --along with the resources of city libraries--of an integrated, county-wide approach to public library service in rural Utah in the future. These circumstances and the promise they hold require a continuing creative partnership between the state and rural county governments based on redefined organizational roles and an evolving redistribution of financial burdens.

The need for change comes at a time when rural county governments are facing important constraints on their ability to respond. Most rural counties in Utah lack a critical mass in concentrated populations and in physical resources. Library service--like any other social service--costs more to provide than would comparable service in an urban setting. Funding is an obstacle in all of the rural counties. In some counties the property tax base has declined in recent years by as much as twenty percent. In several counties, state assessments on commercial/industrial properties, which constitute the bulk of the tax base, are contested annually in court. Tax revenues on paper are tied up in escrow accounts where they are not accessible to county governments. Even in wealthy counties, extended dependence on state and federal dollars coupled with incremental budgeting over decades has tied up existing revenues. Revenues must be redistributed or increased. Many counties report being at the maximum tax rate. Truth-in-taxation requirements that increases in the tax rate be approved through elections mean this process will require some years at best.

Program and Policy Proposals

* That the decentralization of county bookmobile service operations proceed, with the State Library Division continuing to consult with county governments and library service boards, to teach local service providers, and to facilitate and coordinate the bookmobile library services the counties choose to provide. (With the increased involvement and responsibility of local boards and county bookmobile librarians and clerks, each headquarters will become more tailored to the differing needs and desires of county residents.)

* That counties not now doing so be encouraged to consider a dedicated tax levy for library service as authorized in the Utah Code, Title 9, Chapter 7, Part 5.

* That the unified formula for establishing and distributing the costs for bookmobile service among all participating counties be abandoned after the 1996 contract year. (The county dollar amounts needed under the existing formula to sustain current service for 1996 have already been given to the counties.)

* That zero-base budgets be developed for each bookmobile headquarters in 1996, that will control individual headquarters operations beginning January 1, 1997. (This budgeting option was selected by the great majority of the counties responding to a Division survey.)

That the actual costs of service (to be paid from all funding sources) be billed to the counties beginning with the 1996 service contract.

That State Development Grants continue to be awarded (in dollars to the bookmobile counties beginning January 1996) to all jurisdictions that qualify under the policies established by the State Library Board. These include a maintenance-of-effort provision.

That Transition Grants be awarded to the bookmobile counties in dollars, beginning January, 1996, for the purpose of giving counties time to adjust incrementally their library service budgets. Depending on funding decisions yet to be made in Washington, D.C., it is the Division's intent that the transition grants for the 1996 contracts are already in place from federal sources. Thereafter, the Division will seek annual one-time appropriations from the state legislature, or allocate dollars from future federal funding sources, as needed to provide an extended transition period for the counties of an additional three years (1997, 1998, 1999). Over the four-year period the transition grant to the smallest and poorest counties may decrease very little and become an on-going library service sustaining subsidy in the year 2000. The transition grant to the larger and most wealthy counties will decrease to zero by the contract year 2000.

That fiscal capacity and financial effort be used to set the amounts of transition grants given from 1997-1999 and the sustaining subsidies given in 2000 and thereafter. That the amounts be determined by a county-by-county review of need as reflected in economic and demographic indicators that could include taxable value and collections per capita on property and retail sales, personal and household income, unemployment, persons on public assistance, and families with incomes below the poverty level. The data from which such measures are derived must be timely and accurate. Subsidy amounts must address specific circumstances in each county.

* That county ownership of bookmobile service be considered in those counties where it is both desired and feasible at any time after January 1, 1997.

Funding Status and Requests

In the absence of sufficient federal dollars, legislative requests will be made in the following fiscal years as outlined below.

FY 1996-97 Request a one-time appropriation of up to $135,872 to fund Transition Grants for the second half of 1996 service year, and the first half of the 1997 service year.

FY 1997-98 Request a one-time appropriation of up to $100,000 to fund Transition Grants for the second half of 1997 service year, and the first half of the 1998 service year.

FY 1998-99 Request a one-time appropriation of up to $60,000 to fund Transition Grants for the second half of 1998 service year, and the first half of the 1999 service year.

FY 1999-00 Request a one-time appropriation of up to $30,000 to fund Transition Grants for the second half of 1999 service year, and the Library Service Sustaining Subsidy for the first half of the 2000 service year.

FY 2000-01 If needed, request an increase to the base to fund an on-going Library Service Sustaining Subsidy to qualifying counties.

DEVELOPMENT SERVICES

Policy Context and Rationale

The basic framework functions of consulting, standards, grants, and continuing education will continue to play a vital role for Utah's public libraries. These activities aim at developing and supporting local library service capacity. Grant dollars (both state and federal) have in many cases made a dramatic difference in local library services. With federal funds disappearing, the state development grants assume an even higher importance to the public library community. Continued training and consulting in program planning and evaluation will be more useful than ever before in extending the efficient use of state grant dollars that remain. Additionally, local libraries will need help in identifying alternative sources of development funding, and in forming new local partnerships while building up old ones.

Diverse continuing education opportunities are needed to respond to the full range of needs statewide. The electronic information resources available over the Internet level the playing field somewhat, for librarians in all sizes of libraries need training in their use.

Children remain a vitally important clientele group for the future of public libraries. Support for children's services, particularly in libraries that cannot dedicate an individual to them, should remain an important commitment of the Division. Development efforts in building network services that meet the information needs of children hold promise and benefits for public libraries of all sizes and levels of service development and sophistication.

Program and Policy Proposals

* That priority be placed on maintaining State Public Library Service Development Grants
* That the Division implement federal grant programs as new federal funds become available
* That the Division maintain its commitment to consulting, emphasizing local empowerment and improvement through program planning and evaluation

* That UPLIFT Internet User Training be developed and extended
* That UPLIFT Certification Training be maintained
* That UPLIFT-Trustees be redefined to a county/regional approach
* That UPLIFT Practicums be maintained to the degree possible
* That the UPLIFT Professional Skills Institute be discontinued in its present form and redesigned to emphasize the delivery of reference service in all its aspects
* That the Division maintain its commitment to inform and educate through its publications and its work statewide in library public relations

* That support for children's services for public libraries with limited staff be maintained
* That the Division develop network services that meet the information needs of children
* That the Division's video collection for children's programming be discontinued

Funding Status and Requests

FY 1996-97 No request; services and programs will be covered by current operating budget, and/or future federal appropriations.

NETWORK SERVICES

Policy Context and Rationale

State and local governments, public education, higher education, and public libraries are all channelling enormous resources to the tasks of building the telecommunications and computer infrastructure--and acquiring the human skills--necessary to put the information resources of the Internet to work. In Utah, these efforts come under Governor Leavitt's "electronic highway" initiative. The Utah Library Network (ULN) is an integral component of this massive public effort.

There are now 44 public library sites in Utah that have been connected to the network. There remain 55 city and county library service jurisdictions (including bookmobile counties) that do not have Internet access. Many of these are small, rural, remote communities. Achieving the "last mile" on the network will require relatively more dollars, as well as unconventional partnerships and creative collaboration between state and local government, education, and public library interests. Simply establishing connections to the ULN will remain a demanding cooperative effort between the Division, local libraries, and other agencies. State ULN Connectivity Grants have enabled local governments and their public libraries to come up on the network. They will continue to be a persuasive incentive to local libraries to extend important services to their patrons.

Having achieved network connectivity, there will be a need for on-going technical and "help-desk" support to local librarians to reap the full service benefits of the technology. Division staff have both the expertise and organizational placement needed to play the central role in developing access to electronic information resources available to ULN members over the network. They have done so by establishing state-level contracts with commercial database companies in behalf of ULN members, and by organizing access to free resources through an internationally recognized "Home Page" on the World Wide Web. The Division is equipped to play the central role in developing access to Utah State government publications over the network.

Program and Policy Proposals

* That the Division seek continued funding for Utah Library Network Connectivity Grants

* That the Division continue to provide and coordinate technical support for ULN installation and maintenance, and to provide "help-desk" support to ULN libraries

* That the Division, working with ULN libraries and state agencies, actively develop the electronic information resources available through the network by
  - contracting for commercial databases, building toward unified state-level contracts for all education and government interests
  - extending and maintaining the State Library's World Wide Web Home Page
  - developing network access to the indexing and text of Utah government publications

Funding Status and Requests

In the absence of sufficient federal dollars, legislative requests will be made in the following fiscal year as outlined below.

FY 1996-97 Request a one-time appropriation of up to $150,000 to fund Utah Library Network Connectivity Grants and database licenses.

Request an increase to the base of up to $100,000 to support commercial database licensing for an increased population of ULN participants

INFORMATION SERVICES

Policy Context and Rationale

Utah's "have not" libraries rely on the "haves" to meet some of the information needs of their local patrons. In fact, no single library can be completely self-sufficient. Since 1980, there have evolved integrated, multi-type library resource-sharing relationships that are highly responsive to the needs of library patrons statewide. They are based on technology (specifically, OCLC and its interlibrary loan system to which more than twenty of the state's academic, public, and special libraries belong), and are supported by incentive programs that reward "providers" in the system. Utah should maintain these productive relationships.

Within Utah's multi-type library community, the State Library has emerged as an important provider and broker of interlibrary loan (ILL) and reference services, particularly to smaller, fixed-site libraries, county bookmobiles, and state agencies. The Division should neither perpetuate a dependency relationship with these libraries, nor transfer that dependency to another provider library. Rather, state policy and programs should serve to expand progressively the number of libraries participating as full, contributing partners, while the State Library continues to provide information services to those requiring them. A number of libraries now using reference and ILL services provided by the State Library should be encouraged and empowered to work independently within the system, exploiting both expanded technical capacity, as well as building and effectively using on-site information resources. State Library collections, and the information needs they serve, will evolve in response to these changes. Effectively addressing these issues will require a multi-type library planning process to establish goals and policies under which the operational roles of all of the state's libraries evolve productively in the direction of increased interdependency and greater self-sufficiency.

Program and Policy Proposals

* That priority be given to maintaining resource sharing incentive programs
* That the Division discontinue its federal document depository
* That the Division focus its AV collection on continuing education materials

* That by February 1996, the Division present to the State Library Board proposals for a comprehensive, multi-type library resource-sharing planning process that will produce substantive proposals for Board consideration by August 1996. The process, which is to involve administrators and staff from academic, public, school, and special libraries, should
  - examine and propose library policies relating to the sharing of library resources
  - explore the use of network technology to support resource sharing (including OCLC Group Access for public libraries with high use of ILL)
  - review the operation and equity implications of resource sharing incentive programs
  - review and update the Utah interlibrary loan code

Funding Status and Requests

In the absence of sufficient federal dollars, legislative requests will be made in the following fiscal years as outlined below.

FY 1996-97 Request an increase to the base of up to $88,000 to maintain resource-sharing incentive programs currently funded by federal LSCA dollars, Title III

FY 1997-98 Request an increase to the base of up to $50,300 to maintain resource-sharing incentive programs currently funded by federal LSCA dollars, Title I

LEGISLATIVE FUNDING REQUEST SUMMARY

Given the uncertainty of LSCA funding during its last year, and the constraints of very stringent state budget guidelines, the budget request figures summarized below can be only indications of projected need. Final budget requests will depend upon where and in what amounts dollars are actually appropriated. Optimizing the use of dollars will require some shifting of amounts in the proposed requests.

	One-Time Increase	Base Increase
Fiscal Year 1996-97		
County Bookmobile Transition Grants	$135,872	
ULN Connectivity Grants & Database	$150,000	
ULN Commercial Databases		$100,000
ULN Resource Sharing Incentives		$88,000
TOTALS	$285,872	$188,000
Fiscal Year 1997-98		
County Bookmobile Transition Grants	$100,000	
Blind/Physically Handicapped		$50,000
ULN Resource Sharing Incentives		$50,300
TOTALS	$100,000	$100,300
Fiscal Year 1998-99		
County Bookmobile Transition Grants	$60,000	
TOTALS	$60,000	
Fiscal Year 1999-00		
County Bookmobile Transition Grants	$30,000	
TOTALS	$30,000	
Fiscal Year 2000-01		
County Bookmobile Sustaining Subsidy		$30,000
TOTALS		$30,000